



Section V:	Physical Security
Title:	Employee and Contractor Monitoring Standard
Current Effective Date:	June 30, 2008
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Purpose: This standard defines methods that shall be employed by Divisions and Offices of the North Carolina (NC) Department of Health and Human Services (DHHS) for monitoring employee and contractor activity while working with confidential information such as protected health information (PHI) or electronic protected health information (ePHI).

STANDARD

1.0 Background

Monitoring of the workforce is an integral piece of good physical security practices. Active monitoring activities allow an organization to stop physical security threats before they become a legal issue or a threat to public trust.

2.0 Employee/Contractor Access to Restricted Areas

Issuance of keys, combinations, access codes, or other protections implemented to limit physical access shall be documented and signature receipt shall be maintained in local personnel files detailing a workforce member's level of access to protected information.

2.1 Video Surveillance

In high risk areas, video surveillance may be an option employed by a Division or Office to afford an added measure of protection for a facility and its assets. Surveillance may be limited to exterior or proximity surveillance. Entrance point monitoring may be used to check common access hallways or entrances to secure areas within a facility. Signs shall be posted to indicate that surveillance is used at a particular location and the type of surveillance used.





2.2 Types of Video Monitoring

Two common methods of video monitoring are static recording and active live monitoring. Major aspects of each type are as follows:

- Static recording allows for visual inspection of video recorded at a particular location at a later date to determine prior activity at that location.
- Active monitoring allows for immediate identification of a situation that may require rapid response from security or emergency personnel.

Video surveillance equipment shall not be used in locations where protected information could be viewed or recorded by the equipment. Video surveillance shall be implemented in accordance with accepted standards for personal privacy.

3.0 Periodic Training

3.1 Type, Purpose, and Method of Training for Employees and Contractors

The Division or Office shall provide initial and relevant periodic information security awareness communications that include security reminders to all workforce and contract staff. The training shall include information regarding physical security and the workforce's responsibility to protect Division or Office assets. If policies or procedures regarding the physical protection of information or information technology assets change, all workforce members and contract staff shall be notified upon the implementation of the change.

4.0 Termination of Employment

A termination checklist shall be developed to ensure that responsible staff are notified of a workforce member's departure and to ensure that the appropriate measures are taken to terminate physical access to all areas to which the workforce member previously had access. The Division or Office security representatives shall be notified in order to ensure that security access has been terminated for the departing workforce member in accordance with this standard. Access revocation shall be documented in the workforce member's file upon termination to ensure that keys are returned and access codes are changed within a timely manner. Measures shall also be taken when workforce members change positions to ensure their access level to protected areas is appropriate.

References:

- NC Statewide Information Security Manual, Version No. 1
 - Chapter 2 - Controlling Access to Information and Systems, Section 01: Controlling access to Information and Systems
 - Standard 020101 - Managing Access Controls





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- Chapter 11 - Delivering Training and Staff Awareness, Section 01: Awareness
 - Standard 110101 - Delivering Awareness Programs to Permanent Staff
 - Standard 110102 - Third Party Contractor: Awareness Programs
 - Standard 110104 - Drafting Top Management Security Communications to Staff
 - Standard 110105 - Providing Regular Information Updates to Staff
 - Chapter 11 - Delivering Training and Staff Awareness, Section 02: Training
 - Standard 110203 - User: Information Security Training
 - NC DHHS Policy and Procedures Manual, Section VIII - Security and Privacy, Security Manual
 - Personnel Security Policy
 - Physical and Environmental Security Policy
 - Security Training and Awareness Policy

